U.S. Department of Education
Office of Postsecondary Education
Washington, DC 20202

APPLICATION FOR GRANTS UNDER THE UPWARD BOUND (UB) AND THE UPWARD BOUND MATH AND SCIENCE (UBMS) PROGRAMS

(CFDA Numbers: 84.047A & 84.047M)

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ED Form 40-2P

Upward Bound Math and Science (CFDA 84.047M) -- Closing Date: 10/2/1998

Regular and Veterans Upward Bound (CFDA 84.047A) -- Closing Date: 10/30/1998

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APPLICATION FACE SHEET AND BUDGET SUMMARY FORMS ARE SCANNABLE FORMS. THESE FORMS ARE NOT AVAILABLE ON THE INTERNET. PLEASE FAX YOUR MAILING ADDRESS TO THE FEDERAL TRIO PROGRAMS AT (202) 401-6132 OR TELEPHONE (202) 708-4804 TO REQUEST THESE FORMS.

Section D- U.S. Department of Education Assurances and Certifications

SECTION A

DEAR APPLICANT LETTER

NOTICE INVITING APPLICATIONS FOR NEW AWARDS

UPWARD BOUND LEGISLATION

FINAL PROGRAM REGULATIONS

Dear Applicant:

Thank you for your interest in applying for a grant under the Upward Bound (UB) and/or Upward Bound Math/Science programs (UBMS). Eligible applicants include institutions of higher education, public and private agencies and organizations, or combinations of institutions, agencies, and organizations. In exceptional cases, secondary schools may apply if there are no other applicants capable of providing an UB or UBMS project in the proposed target area.

This package contains the forms and instructions necessary for preparing an application. Also included is a copy of the "Notice Inviting Applications for New Awards and Notice of Technical Assistance Workshops"; a copy of the Upward Bound legislative authority-Sections 402A and 402C of the Higher Education Act, as amended; a reprint of the program regulations; and a table reflecting annual family income thresholds for the purposes of qualifying a student as an eligible participant under the low-income criterion. In addition to the application booklet, a scannable face and budget sheet are included as separate documents.

There have been several changes made to the application package since the last competition for Upward Bound and Upward Bound Math/Science programs. Therefore, please review the entire application package carefully before preparing and submitting your application. The changes are as follows:

1. As part of the Administration's Reinventing Government Initiative, the Department requires that all applicants for multi-year awards provide detailed budget information for the total grant period requested: this eliminates the need for extensive non-competing continuation applications in the remaining project years. The Department will negotiate the funding levels for each year of the grant award at the time of the initial award. A new scannable budget form requests the information needed. An annual performance report will be used in place of the continuation application to determine progress, thereby relieving grantees of the burden to annually resubmit assurances and certifications.

2. The application face sheet and budget summary scannable forms should be typewritten. A standard typewriter is preferred. If no typewriter is available, handwritten forms are accepted.

To expedite the reading process, we request that you limit the program narrative to 100 pages and follow the format suggested in the instructions for Part III. While you are required to submit a signed original application and two copies of your application, your voluntary submission of **a signed original and three copies will expedite the review process.**

4. Currently funded UB and UBMS grantees should note that the prior experience assessment will be based on the criteria applicable to the fiscal years in which the grants were awarded.

The U.S. Department of Education will conduct eleven technical assistance workshops to aid prospective applicants in developing applications for Upward Bound and Upward Bound Math/Science Programs. These workshops will be held in August throughout the nation. Information on these workshops is contained in the "Notice Inviting Applications For New Awards for fiscal year (FY) 1999 and Notice of Technical Assistance Workshops" contained in this package.

A separate application is required for each project. The application must be postmarked or hand delivered on or before the deadline date. Detailed mailing instructions are provided in the Application Transmittal Instructions. Applications submitted late will <u>not be accepted</u>. The Department is required to enforce the established deadline to insure fairness to all applicants. No changes or additions to the application will be accepted after the deadline date.

For additional information, please contact Higher Education Preparation and Support, U.S. Department of Education, 600 Independence Avenue, S.W., The Portals Building, Suite 600D, Washington, DC 20202-5249, ATTN: CFDA 84.047A or 84.047M, telephone (202) 708-4804, or the Internet at TRIO@ED.GOV.

Best regards,

Claudio R. Prieto
Deputy Assistant Secretary
for Higher Education Programs

Upward Bound/Upward Bound Math/Science Legislation

HIGHER EDUCATION ACT OF 1965-TITLE IV-UPWARD BOUND

Part A--Grants to Students in Attendance at Institutions of Higher Education; Subpart 2--Federal Early Outreach and Student Services Programs

CHAPTER 1--FEDERAL TRIO PROGRAMS

SEC. 402A. PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

(a) GRANTS AND CONTRACTS AUTHORIZED- The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.

(b) RECIPIENTS, DURATION, AND SIZE-

(1) RECIPIENTS- For the purposes described in subsection (a), the Secretary is authorized, without regard to section 3709 of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.

(2) DURATION- Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that

the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year; and

(A) grants made under section 402G shall be awarded for a period of 2 years.

(3) MINIMUM GRANT LEVEL- In any year in which the appropriations authorized under this chapter exceed the prior year appropriation as adjusted for inflation, the Secretary shall use 80 percent of the amount appropriated above the current services level to bring each award up to the minimum grant level or the amount requested by the institution or agency, whichever is less. The minimum grant level (A) for programs authorized under section 402D or 402G, shall not be less than $170,000 for fiscal year 1993; (B) for programs authorized under section 402B or 402F shall not be less than $180,000 for fiscal year 1994; and (C) for programs authorized under section 402C or 402E shall not be less than $190,000 for fiscal year 1995.

(c) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS-

(1) PRIOR EXPERIENCE- In making grants and contracts under this chapter, the Secretary shall consider the prior experience of service delivery under the particular program for which funds are sought by each applicant. For fiscal years after 1985, the level of consideration given to prior experience shall not vary from the level of consideration given this factor for fiscal year 1985.

(2) ORDER OF AWARDS; PROGRAM FRAUD- (A) Except as provided in subparagraph (B), the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under section 1210 and adjusted for prior experience in accordance with paragraph (1).

(B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.

(3) PEER REVIEW PROCESS- (A) The Secretary shall assure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also assure that persons from urban and rural backgrounds are represented as readers.

(B) The Secretary shall ensure that each application submitted under this chapter is read by at least 3 readers who are not employees of the Federal Government (other than as readers of applications).

(4) APPLICATION STATUS- The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the start-up date for a new grant or contract for such program immediately follows the termination of preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this subpart for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS- The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS- The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall not require a separate Director to administer a program funded under this chapter if the imposition of such requirement will hinder coordination among programs funded under this chapter or between programs funded under this subpart and similar programs funded through other sources.

(d) OUTREACH-

(1) IN GENERAL- The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE- In carrying out the provisions of paragraph (1), the Secretary shall notify the entities described in subsection (b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE- The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE- The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW-INCOME INDIVIDUAL- (1) Except in the case of an independent student, as defined in section 480(D), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with--

signed statement from the parent or legal guardian;

verification from another governmental source;

signed financial aid application, or;
signed United States or Puerto Rican income tax return; and

(2) In the case of an independent student, as defined in section 480(D), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with--
a signed statement from the individual;
verification from another governmental source;
signed financial aid form; or
a signed United States or Puerto Rican income tax return.

(f) AUTHORIZATION OF APPROPRIATIONS- For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated $650,000,000 for fiscal year 1993, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary
may use no more than 1/2 of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(g) DEFINITIONS- For the purpose of this chapter:

(1) FIRST GENERATION COLLEGE STUDENT- The term first generation college student' means--

(A) an individual both of whose parents did not complete a baccalaureate degree; or

(B) in the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) LOW-INCOME INDIVIDUAL- The term low-income individual' means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) VETERAN ELIGIBILITY- No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual's age who--

(A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released therefrom under conditions other than dishonorable; or

(B) served on active duty after January 31, 1955, and was discharged or released therefrom because of a service connected disability.

SEC. 402C. UPWARD BOUND.

(a) PROGRAM AUTHORITY- The Secretary shall carry out a program to be known as Upward Bound which shall be designed to generate skills and motivation necessary for success in education beyond secondary school.

(b) PERMISSIBLE SERVICES- Any Upward Bound project assisted under this chapter may provide services such as--

(1) instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school;

(2) personal counseling;

(3) academic advice and assistance in secondary school course selection;

(4) tutorial services;

(5) exposure to cultural events, academic programs, and other activities not usually available to disadvantaged youth;

(6) activities designed to acquaint youths participating in the project with the range of career options available to them;

(7) instruction designed to prepare youths participating in the project for careers in which persons from disadvantaged backgrounds are particularly underrepresented;

(8) on-campus residential programs;

(9) mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of such persons; and

(10) programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) REQUIRED SERVICES- Any Upward Bound project assisted under this chapter which has received funding for two or more years shall include, as part of the core curriculum in the next and succeeding years, instruction in mathematics through precalculus, laboratory science, and foreign language, composition, and literature.

(d) REQUIREMENTS FOR APPROVAL OF APPLICATIONS- In approving applications for Upward Bound projects under this chapter for any fiscal year, the Secretary shall--

(1) require an assurance that not less than two-thirds of the youths participating in the project proposed to be carried out under any application be low-income individuals who are first generation college students;

(2) require an assurance that the remaining youths participating in the project proposed to be carried out under any application be either low-income individuals or first generation college students;

(3) require that there be a determination by the institution, with respect to each participant in such project that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school; and

(4) require that such participants be persons who have completed 8 years of elementary education and are at least 13 years of age but not more than 19 years of age, unless the imposition of any such limitation would defeat the purposes of this section.

(e) MAXIMUM STIPENDS- Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of $60 per month during June, July, and August, and not in excess of $40 per month during the remaining period of the year.

Upward Bound/Upward Bound Math Science Program Regulations

U.S. DEPARTMENT OF EDUCATION FEDERAL REGULATIONS FOR 34 CFR PART 645- UPWARD BOUND/UPWARD BOUND MATH/SCIENCE PROGRAMS

Subpart A-General

Authority: 20 U.S.C. 1070a-11 and 1070a-13, unless otherwise noted.

Source: 60 FR 4748, Jan. 24, 1995, unless otherwise noted.

Subpart A-General

§ 645.1 What is the Upward Bound Program?

(a) The Upward Bound Program provides Federal grants to projects designed to generate in program participants the skills and motivation necessary to complete a program of secondary education and to enter and succeed in a program of postsecondary education.

(b) The Upward Bound Program provides Federal grants for the following three types of projects:

(1) Regular Upward Bound projects.

(2) Upward Bound Math and Science Centers.

(3) Veterans Upward Bound projects.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.2 Who is eligible for a grant?

The following entities are eligible to apply for a grant to carry out an Upward Bound project:

(a) Institutions of higher education.

(b) Public or private agencies or organizations.

(c) Secondary schools, in exceptional cases, if there are no other applicants capable of providing this program in the target area or areas to be served by the proposed project.

(d) A combination of the types of institutions, agencies, and organizations described in paragraphs (a) and (b) of this section.

(Authority: 20 U.S.C 1070a-11 and 1070a-13)

§ 645.3 Who is eligible to participate in an Upward Bound project?

An individual is eligible to participate in a Regular, Veterans, or a Math and Science Upward Bound project if the individual meets all of the following requirements:

(a)(1) Is a citizen or national of the United States.

(2) Is a permanent resident of the United States.

(3) Is in the United States for other than a temporary purpose and provides evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident.

(4) Is a permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands.

(5) Is a resident of the Freely Associated States-the Federated States of Micronesia, the Republic of the Marshall Islands, or the Republic of Palau.

(b) Is-(1) A potential first-generation college student; or

(2) A low-income individual.

(c) Has a need for academic support, as determined by the grantee, in order to pursue successfully a program of education beyond high school.

(d) At the time of initial selection, has completed the eighth grade but has not entered the twelfth grade and is at least 13 years old but not older than 19, although the Secretary may waive the age requirement if the applicant demonstrates that the limitation would defeat the purposes of the Upward Bound program. However, a veteran as defined in §645.6, regardless of age, is eligible to participate in an Upward Bound project if he or she satisfies the eligibility requirements in paragraphs (a), (b), and (c) of this section.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.4 What are the grantee requirements with respect to low income and first-generation participants?

(a) At least two-thirds of the eligible participants a grantee serves must at the time of initial selection qualify as both low-income individuals and potential first-generation college students. The remaining participants must at the time of initial selection qualify as either low-income individuals or potential first generation college students.

(b) For purposes of documenting a participant's low-income status the following applies:

(1) In the case of a student who is not an independent student, an institution shall document that the student is a low-income individual by obtaining and maintaining-

(i) A signed statement from the student's parent or legal guardian regarding family income;

(ii) Verification of family income from another governmental source;

(iii) A signed financial aid application; or

(iv) A signed United States or Puerto Rican income tax return.

(2) In the case of a student who is an independent student, an institution shall document that the student is a low-income individual by obtaining and maintaining-

(i) A signed statement from the student regarding family income;

(ii) Verification of family income from another governmental source;

(iii) A signed financial aid application; or

(iv) A signed United States or Puerto Rican income tax return.

(c) For purposes of documenting potential first generation college student status, documentation consists of a signed statement from a dependent participant's parent, or a signed statement from an independent participant.

(d) A grantee does not have to revalidate a participant's eligibility after the participant's initial selection.

(Approved by the Office of Management and Budget under control number 1840-0550)

(Authority: 20 U.S.C. 1070a-11)

§ 645.5 What regulations apply?

The following regulations apply to the Upward Bound Program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR Part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations);

(2) 34 CFR Part 75 (Direct Grant Programs), except for §75.511;

(3) 34 CFR Part 77 (Definitions that Apply to Department Regulations), except for the definition of ``secondary school" in 34 CFR 77.1;

(4) 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities);

(5) 34 CFR Part 82 (New Restrictions on Lobbying);

(6) 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants));

(7) 34 CFR Part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this Part 645.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.6 What definitions apply to the Upward Bound Program?

(a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR 77.1:

Applicant

Application

Award

Budget

Budget period

EDGAR

Equipment

Facilities

Grant

Grantee

Project

Project period

Secretary

State

Supplies

(b) Other Definitions. The following definitions also apply to this part:

Family taxable income means-

(1) With regard to a dependent student, the taxable income of the individual's parents;

(2) With regard to a dependent student who is an orphan or ward of the court, no taxable income;

(3) With regard to an independent student, the taxable income of the student and his or her spouse.

HEA means the Higher Education Act of 1965, as amended.

Independent student means a student who-

(1) Is an orphan or ward of the court;

(2) Is a veteran of the Armed Forces of the United States (as defined in this section);

(3) Is a married individual; or

(4) Has legal dependents other than a spouse.

Institution of higher education means an educational institution as defined in sections 1201(a) and 481 of the HEA.

Limited English proficiency with reference to an individual, means an individual whose native language is other 278than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

Low-income individual means an individual whose family taxable income did not exceed 150 percent of the poverty level amount in the calendar year preceding the year in which the individual initially participates in the project. The poverty level amount is determined by using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

Organization/Agency means an entity that is legally authorized to operate programs such as Upward Bound in the State where it is located.

Participant means an individual who-

(1) Is determined to be eligible to participate in the project under §645.3;

(2) Resides in the target area, or is enrolled in a target school at the time of acceptance into the project; and

(3) Has been determined by the project director to be committed to the project, as evidenced by being allowed to continue in the project for at least-

(i) Ten days in a summer component if the individual first enrolled in an Upward Bound project's summer component; or

(ii) Sixty days if the individual first enrolled in an Upward Bound project's academic year component.

Potential first-generation college student means-

(1) An individual neither of whose natural or adoptive parents received a baccalaureate degree; or

(2) A student who, prior to the age of 18, regularly resided with and received support from only one natural or adoptive parent and whose supporting parent did not receive a baccalaureate degree.

Secondary school means a school that provides secondary education as determined under State law.

Target area means a discrete local or regional geographical area designated by the applicant as the area to be served by an Upward Bound project.

Target school means a school designated by the applicant as a focus of project services.

Veteran means a person who served on active duty as a member of the Armed Forces of the United States-

(1) For a period of more than 180 days, any part of which occurred after January 31, 1955, and who was discharged or released from active duty under conditions other than dishonorable; or

(2) After January 31, 1955, and who was discharged or released from active duty because of a service-connected disability.

(Authority: 20 U.S.C. 1001 et seq., 1070a-11, 1070a-13, 1088, 1141, 1141a, and 3283(a)).

Subpart B-What Kinds of Projects and Services Does the Secretary Assist Under This Program?

§ 645.10 What kinds of projects are supported under the Upward Bound Program?

The Secretary provides grants to the following three types of Upward Bound projects:

(a) Regular Upward Bound projects designed to prepare high school students for programs of postsecondary education.

(b) Upward Bound Math and Science Centers designed to prepare high school students for postsecondary education programs that lead to careers in the fields of math and science.

(c) Veterans Upward Bound projects designed to assist veterans to prepare for a program of postsecondary education.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.11 What services do all Upward Bound projects provide?

(a) An Upward Bound project that has received funds under this part for at least two years shall include as part of its core curriculum, instruction in-

(1) Mathematics through pre-calculus;

(2) Laboratory science;

(3) Foreign language;

(4) Composition; and

(5) Literature.

(b) All Upward Bound projects may provide such services as-

(1) Instruction in subjects other than those listed in §645.11(a) that are necessary for success in education beyond high school;

(2) Personal counseling;

(3) Academic advice and assistance in secondary school course selection;

(4) Tutorial services;

(5) Exposure to cultural events, academic programs, and other educational activities not usually available to disadvantaged youths;

(6) Activities designed to acquaint youths participating in the project with the range of career options available to them;

(7) Instruction designed to prepare youths participating in the project for careers in which persons from disadvantaged backgrounds are particularly underrepresented;

(8) Mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of these persons and other professional individuals; and

(9) Programs and activities such as those described in paragraphs (b)(1) through (b)(8) of this section that are specifically designed for individuals with limited proficiency in English.

(Authority: 20 U.S.C. 1070a-13)

§ 645.12 How are regular Upward Bound projects organized?

(a) Regular Upward Bound projects-

(1) Must provide participants with a summer instructional component that is designed to simulate a college-going experience for participants, and an academic year component; and

(2) May provide a summer bridge component to those Upward Bound participants who have graduated from secondary school and intend to enroll in an institution of higher education in the following fall term. A summer bridge component provides participants with services and activities, including college courses, that aid in the transition from secondary education to postsecondary education.

(b) A summer instructional component shall-

(1) Be six weeks in length unless the grantee can demonstrate to the Secretary that a shorter period will not hinder the effectiveness of the project nor prevent the project from achieving its goals and objectives, and the Secretary approves that shorter period; and

(2) Provide participants with one or more of the services described in §645.11 at least five days per week.

(c)(1) Except as provided in paragraph (c)(2) of this section, an academic year component shall provide program participants with one or more of the services described in §645.11 on a weekly basis throughout the academic year and, to the extent possible, shall not prevent participants from fully participating in academic and nonacademic activities at the participants' secondary school.

(2) If an Upward Bound project's location or the project's staff are not readily accessible to participants because of distance or lack of transportation, the grantee may, with the Secretary's permission, provide project services to participants every two weeks during the academic year.

(Authority: 20 U.S.C. 1070a-13)

§ 645.13 What additional services do Upward Bound Math and Science Centers provide and how are they organized?

(a) In addition to the services that must be provided under §645.11(a) and may be provided under §645.11(b), an Upward Bound Math and Science Center must provide-

(1) Intensive instruction in mathematics and science, including hands-on experience in laboratories, in computer facilities, and at field-sites;

(2) Activities that will provide participants with opportunities to learn from mathematicians and scientists who are engaged in research and teaching at the applicant institution, or who are engaged in research or applied science at hospitals, governmental laboratories, or other public and private agencies;

(3) Activities that will involve participants with graduate and undergraduate science and mathematics majors who may serve as tutors and counselors for participants; and 280

(4) A summer instructional component that is designed to simulate a college-going experience that is at least six weeks in length and includes daily coursework and other activities as described in this section as well as in §645.11.

(b) Math Science Upward Bound Centers may also include-

(1) A summer bridge component consisting of math and science related coursework for those participants who have completed high school and intend on enrolling in an institution of higher education in the following fall term; and

(2) An academic year component designed by the applicant to enhance achievement of project objectives in the most cost-effective way taking into account the distances involved in reaching participants in the project's target area.

(Approved by the Office of Management and Budget under control number 1840-0550)

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.14 What additional services do Veterans Upward Bound projects provide?

In addition to the services that must be provided under §645.11(a) and may be provided under §645.11(b), a Veterans Upward Bound project must-

(a) Provide intensive basic skills development in those academic subjects required for successful completion of a high school equivalency program and for admission to postsecondary education programs;

(b) Provide short-term remedial or refresher courses for veterans who are high school graduates but who have delayed pursuing postsecondary education. If the grantee is an institution of higher education, these courses shall not duplicate courses otherwise available to veterans at the institution; and

(c) Assist veterans in securing support services from other locally available resources such as the Veterans Administration, State veterans agencies, veterans associations, and other State and local agencies that serve veterans.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

Subpart C-How Does One Apply for An Award?

§ 645.20 How many applications for an Upward Bound award may an eligible applicant submit?

(a) The Secretary accepts more than one application from an eligible entity so long as an additional application describes a project that serves a different participant population.

(b) Each application for funding under the Upward Bound Program shall state whether the application proposes a Regular Upward Bound project, an Upward Bound Math and Science Center, or a Veterans Upward Bound project.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.21 What assurances must an applicant include in an application?

An applicant must assure the Secretary that-

(a) Not less than two-thirds of the project's participants will be low-income individuals who are potential first generation college students; and

(b) That the remaining participants be either low-income individuals or potential first generation college students.

(Authority 20 U.S.C. 1070a-13)

Subpart D-How Does the Secretary Make a Grant?

§ 645.30 How does the Secretary decide which grants to make?

(a) The Secretary evaluates an application for a grant as follows:

(1)(i) The Secretary evaluates the application on the basis of the selection criteria in §645.31.

(ii) The maximum score for all the criteria in §645.31 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(2)(i) If an applicant for a new grant proposes to continue to serve substantially the same target population or schools that the applicant is serving under an expiring project, the Secretary evaluates the applicant's prior experience in delivering services under the expiring Upward Bound project on the basis of the criteria in §645.32.

(ii) The maximum score for all the criteria in §645.32 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(b) The Secretary makes grants in rank order on the basis of the application's total scores under paragraphs (a)(1) and (a)(2) of this section.

(c) If the total scores of two or more applications are the same and there are insufficient funds for these applications after the approval of higher-ranked applications, the Secretary uses whatever remaining funds are available to serve geographic areas that have been underserved by the Upward Bound Program.

(d) The Secretary may decline to make a grant to an applicant that carried out a project that involved the fraudulent use of funds under section 402A(c)(2)(B) of the HEA.

(Authority: 20 U.S.C. 1070a-11, 1070a-13)

§ 645.31 What selection criteria does the Secretary use?

The Secretary uses the following criteria to evaluate an application for a grant:

(a) Need for the project (24 points). In determining need for an Upward Bound project, the Secretary reviews each type of project (Regular, Math and Science, or Veterans) using different need criteria. The criteria for each type of project contain the same maximum score of 24 points and read as follows:

(1) The Secretary evaluates the need for a Regular Upward Bound project in the proposed target area on the basis of information contained in the application which clearly demonstrates that-

(i) The income level of families in the target area is low;

(ii) The education attainment level of adults in the target area is low;

(iii) Target high school dropout rates are high;

(iv) College-going rates in target high schools are low;

(v) Student/counselor ratios in the target high schools are high; and

(vi) Unaddressed academic, social and economic conditions in the target area pose serious problems for low-income, potentially first-generation college students.

(2) The Secretary evaluates the need for an Upward Bound Math and Science Center in the proposed target area on the basis of-

(i) The extent to which student performance on standardized achievement and assessment tests in mathematics and science in the target area is lower than State or national norms.

(ii) The extent to which potential participants attend schools in the target area that lack the resources and coursework that would help prepare persons for entry into postsecondary programs in mathematics, science, or engineering;

(iii) The extent to which such indicators as attendance data, dropout rates, college-going rates and student/counselor ratios in the target area indicate the importance of having additional educational opportunities available to low-income, first-generation students; and

(iv) The extent to which there are eligible students in the target area who have demonstrated interest and capacity to pursue academic programs and careers in mathematics and science, and who could benefit from an Upward

Bound Math and Science program.

(3) The Secretary evaluates the need for a Veterans Upward Bound project in the proposed target area on the basis of clear evidence that shows-

(i) The proposed target area lacks the services for eligible veterans that the applicant proposes to provide;

(ii) A large number of veterans who reside in the target area are low income and potential first generation college students;

(iii) A large number of veterans who reside in the target area who have not completed high school or, have completed high school but have not enrolled in a program of postsecondary education; and

(iv) Other indicators of need for a Veterans Upward Bound project, including the presence of unaddressed academic or socio-economic problems of veterans in the area.

(b) Objectives (9 points). The Secretary evaluates the quality of the applicant's proposed project objectives on the basis of the extent to which they-

(1) Include both process and outcome objectives relating to the purpose of 282the applicable Upward Bound programs for which they are applying;

(2) Address the needs of the target area or target population; and

(3) Are measurable, ambitious, and attainable over the life of the project.

(c) Plan of operation (30 points). The Secretary determines the quality of the applicant's plan of operation by assessing the quality of-

(1) The plan to inform the faculty and staff at the applicant institution or agency and the interested individuals and organizations throughout the target area of the goals and objectives of the project;

(2) The plan for identifying, recruiting, and selecting participants to be served by the project;

(3) The plan for assessing individual participant needs and for monitoring the academic progress of participants while they are in Upward Bound;

(4) The plan for locating the project within the applicant's organizational structure;

(5) The curriculum, services and activities that are planned for participants in both the academic year and summer components;

(6) The planned timelines for accomplishing critical elements of the project;

(7) The plan to ensure effective and efficient administration of the project, including, but not limited to, financial management, student records management, and personnel management;

(8) The applicant's plan to use its resources and personnel to achieve project objectives and to coordinate the Upward Bound project with other projects for disadvantaged students;

(9) The plan to work cooperatively with parents and key administrative, teaching, and counseling personnel at the target schools to achieve project objectives; and

(10) A follow-up plan for tracking graduates of Upward Bound as they enter and continue in postsecondary education.

(d) Applicant and community support (16 points). The Secretary evaluates the applicant and community support for the proposed project on the basis of the extent to which-

(1) The applicant is committed to supplementing the project with resources that enhance the project such as: space, furniture and equipment, supplies, and the time and effort of personnel other than those employed in the project.

(2) The applicant has secured written commitments of support from schools, community organizations, and businesses, including the commitment of resources that will enhance the project as described in paragraph (d)(1) of this section.

(e) **Quality of personnel (8 points).** To determine the quality of personnel the applicant plans to use, the Secretary looks for information that shows-

(1) The qualifications required of the project director, including formal training or work experience in fields related to the objectives of the project and experience in designing, managing, or implementing similar projects;

(2) The qualifications required of each of the other personnel to be used in the project, including formal training or work experience in fields related to the objectives of the project;

(3) The quality of the applicant's plan for employing personnel who have succeeded in overcoming barriers similar to those confronting the project's target population.

(f) Budget and cost effectiveness (5 points). The Secretary reviews each application to determine the extent to which-

(1) The budget for the project is adequate to support planned project services and activities; and

(2) Costs are reasonable in relation to the objectives and scope of the project.

(g) Evaluation plan (8 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which the applicant's methods of evaluation-

(1) Are appropriate to the project and include both quantitative and qualitative evaluation measures; and

(2) Examine in specific and measurable ways the success of the project in making progress toward achieving its process and outcomes objectives.

(Approved by the Office of Management and Budget under control number 1840-0550)

(Authority: 20 U.S.C. 1070a-11 and 1070a-13) 283

§ 645.32 How does the Secretary evaluate prior experience?

(a) In the case of an application described in §645.30(a)(2), the Secretary reviews information relating to an applicant's performance under its expiring Upward Bound grant. This information includes information derived from annual performance reports, audit reports, site visit reports, project evaluation reports, and any other verifiable information submitted by the applicant.

(b) The Secretary evaluates the applicant's prior experience in delivering services on the basis of the following criteria:

(1) (3 points) Whether the applicant serves the number of participants agreed to under the approved application;

(2) (3 points) The extent to which project participants have demonstrated improvement in academic skills and competencies as measured by standardized achievement tests and grade point averages;

(3) (3 points) The extent to which project participants continue to participate in the Upward Bound Program until they complete their secondary education program;

(4) The extent to which participants who complete the project, or were scheduled to complete the project, undertake programs of postsecondary education; and

(5) (3 points) The extent to which participants who complete the project, or were scheduled to complete the project, succeed in education beyond high school, including the extent to which they graduate from postsecondary education programs.

(Approved by the Office of Management and Budget under control number 1840-0550)

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.33 How does the Secretary set the amount of a grant?

(a) The Secretary sets the amount of a grant on the basis of-

(1) 34 CFR 75.232 and 75.233, for new grants; and

(2) 34 CFR 75.253, for the second and subsequent years of a project period.

(b) If the circumstances described in section 402A(b)(3) of the HEA exist, the Secretary uses the available funds to set the amount of the grant at the lesser of-

(1) $190,000; or

(2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a-11)

§ 645.34 How long is a project period?

(a) Except as provided in paragraph (b) of this section, a project period under the Upward Bound Program is four years.

(b) The Secretary approves a project period of five years for applicants that score in the highest ten percent of all applicants approved for new grants under the criteria in §645.31.

(Authority: 20 U.S.C. 1070a-11)

Subpart E-What Conditions Must Be Met by a Grantee?

§ 645.40 What are allowable costs?

The cost principles that apply to the Upward Bound Program are in 34 CFR part 74, subpart Q. Allowable costs include the following if they are reasonably related to the objectives of the project:

(a) In-service training of project staff.

(b) Rental of space if space is not available at the host institution and the space rented is not owned by the host institution.

(c) For participants in an Upward Bound residential summer component, room and board-computed on a weekly basis-not to exceed the weekly rate the host institution charges regularly enrolled students at the institution.

(d) Room and board for those persons responsible for dormitory supervision of participants during a residential summer component.

(e) Educational pamphlets and similar materials for distribution at workshops for the parents of participants.

(f) Student activity fees for Upward Bound participants.

(g) Admissions fees, transportation, Upward Bound T-shirts, and other costs necessary to participate in field trips, attend educational activities, visit museums, and attend other events that have as their purpose the intellectual, social, and cultural development of participants. 284

(h) Costs for one project-sponsored banquet or ceremony.

(i) Tuition costs for postsecondary credit courses at the host institution for participants in the summer bridge component.

(j)(1) Accident insurance to cover any injuries to a project participant while participating in a project activity; and

(2) Medical insurance and health service fees for the project participants while participating full-time in the summer component.

(k) Courses in English language instruction for project participants with limited proficiency in English and for whom English language proficiency is necessary to succeed in postsecondary education.

(l) Transportation costs of participants for regularly scheduled project activities.

(m) Transportation, meals, and overnight accommodations for staff members when they are required to accompany participants in project activities such as field trips.

(n) Purchase of computer hardware, computer software, or other equipment for student development, project administration and recordkeeping, if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently.

(o) Fees required for college admissions applications or entrance examinations if-

(1) A waiver of the fee is unavailable;

(2) The fee is paid by the grantee to a third party on behalf of a participant.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.41 What are unallowable costs?

Costs that may not be charged against a grant under this program include the following:

(a) Research not directly related to the evaluation or improvement of the project.

(b) Meals for staff except as provided in §645.40 (d) and (m) and in paragraph (c) of this section.

(c) Room and board for administrative and instructional staff personnel who do not have responsibility for dormitory supervision of project participants during a residential summer component unless these costs are approved by the Secretary.

(d) Room and board for participants in Veterans Upward Bound projects.

(e) Construction, renovation or remodeling of any facilities.

(f) Tuition, stipends, or any other form of student financial aid for project staff beyond that provided to employees of the grantee as part of its regular fringe benefit package.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.42 What are Upward Bound stipends?

(a) An Upward Bound project may provide stipends for all participants who participate on a full-time basis.

(b) In order to receive the stipend, the participant must show evidence of satisfactory participation in activities of the project including-

(1) Regular attendance; and

(2) Performance in accordance with standards established by the grantee and described in the application.

(c) The grantee may prorate the amount of the stipend according to the number of scheduled sessions in which the student participated.

(d) The following rules govern the amounts of stipends a grantee is permitted to provide:

(1) For Regular Upward Bound projects and Upward Bound Math and Science Centers-

(i) For the academic year component, the stipend may not exceed $40 per month; and

(ii) For the summer component, the stipend may not exceed $60 per month.

(2) For Veterans Upward Bound projects, the stipend may not exceed $40 per month.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13)

§ 645.43 What other requirements must a grantee meet?

(a) Number of participants. (1) In each budget period, Regular Upward Bound projects shall serve between 50 and 150 participants and Upward Bound Math and Science projects shall serve between 50 and 75 participants.

(2) Veterans Upward Bound projects shall serve a minimum of 120 veterans in each budget period. 285

(3) The Secretary may waive the requirements of paragraphs (a)(1) and (a)(2) of this section if the applicant can demonstrate that the project will be more cost effective and consistent with the objectives of the program if a greater or lesser number of participants will be served.

(b) Project director. (1) A grantee shall employ a full-time project director unless paragraph (b)(3) of this section applies.

(2) The grantee shall give the project director sufficient authority to administer the project effectively.

(3) The Secretary waives the requirement in paragraph (b)(1) of this section if the applicant demonstrates that the requirement will hinder coordination-

(i) Among the Federal TRIO Programs; or

(ii) Between the programs funded under sections 402A through 410 of the HEA and similar programs funded through other sources.

(c) Recordkeeping. For each participant, a grantee shall maintain a record of-

(1) The basis for the grantee's determination that the participant is eligible to participate in the project under §645.3;

(2) The basis for the grantee's determination that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school;

(3) The services that are provided to the participant;

(4) The educational progress of the participant during high school and, to the degree possible, during the participant's pursuit of a postsecondary education program.

(Authority: 20 U.S.C. 1070a-11 and 1070a-13).

Section B- Departmental Information

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

EXECUTIVE ORDER 12372 -- INTERGOVERNMENTAL REVIEW STATE SINGLE POINT OF CONTACT

SUPPLEMENTAL INFORMATION

GEPA-NOTICE TO ALL APPLICANTS GUIDANCE ON SECTION 427 OF THE GENERAL EDUCATION PROVISIONS ACT

GPRA- GOVERNMENT PERFORMANCE AND RESULTS ACT

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS

SUPPLEMENTAL INSTRUCTIONS--

OBTAINING A D-U-N-S NUMBER

Instructions for Transmitting Applications

An application for an award must be mailed or hand delivered by the closing date.

Applications Delivered by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.047A (UB) or 84.047M (UBMS), 600 Independence Avenue, SW, Washington, DC 20202-4725.

An application must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

(1) A private metered postmark, or
(2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail.

Each late applicant will be notified that its application will not be considered.

Applications Delivered by Hand\Courier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building #3, 7th and D Streets, SW, Washington, DC 20202-4275.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

Executive Order 12372 -- Intergovernmental Review

The Education Department General Administrative Regulations (EDGAR), 34 CFR 79,
pertaining to intergovernmental review of Federal programs, apply to the program(s) included in this application package.

Immediately upon receipt of this notice, all applicants, other than Federally recognized Indian Tribal Governments, must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should contact, immediately upon receipt of this notice, the Single Point of Contact for each State and follow the procedures established in those States under the Executive Order. A list containing the Single Point of Contact for each State is included in the application package for these programs.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any state process recommendation and other comments submitted by a State Single Point of Contact and any other comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date in the program announcement for Intergovernmental Review to the following address:

The Secretary
E.O. 12372-CFDA# 84.047A (UB) or 84.047M (UBMS)
U.S. Department of Education, FB-10, Room 6213
600 Independence Ave., SW
Washington, DC 20202

Please note that the above address is not the same address as the one to which the applicant submits its completed application. **Do not send applications to the above address.**

On line 2 of the above address, please provide the correct Catalog of Federal Domestic Assistance number (CFDA#) of the program for which a comment or state process recommendation on an application is submitted. (UB 84.047A; UBMS 84.047M)

In those States that require review for this program, applications are to be submitted simultaneously to the State Review Process and the U.S. Department of Education.

Proof of mailing for intergovernmental review will be determined on the same basis as applications.

State Single Points Of Contact

Alabama

Mr. Jon C. Strickland,
Alabama Department of Economic
and Community Affairs
Planning & Economic Developmt Div.
401 Adams Avenue
Montgomery, AL 36103-5690
Telephone (205) 242-5483
Fax (205) 242-5515

Arizona

Joanne Saad
Arizona State Clearining House
3800 N. Central Avenue
Fourteenth Floor
Phoenix, Arizona 85012
Telephone (602) 280-1315
Fax (602) 280-8144

Arkansas

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th Street -- Rm 412
Little Rock, Arkansas 72203
Telephone (501) 682-1074
Fax (501) 682-5206

California

Grants Coordinator
Office of Planning & Research
1400 Tenth Street -- Rm 121
Sacramento, California 95814
Telephone (916) 323-7480
Fax (916) 323-3018

Delaware

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
P.O. Box 1401
Dover, Delaware 19903
Telephone (302) 739-3326
Fax (302) 739-5661

District of Columbia

Charles Nichols
State Single Point of Contact
Office of Grants Management
and Development
717 14th Street, NW -- Suite 500
Washington, DC 20005
Telephone (202) 727-6551
Fax (202) 727-1617

Florida

Florida State Clearinghouse
Department of Community Affairs
2740 Centerview Drive
Tallahassee, FL 32399-2100
Telephone (904) 922-5438
Fax (904) 487-2899

Georgia

Tom L. Reid III, Administrator
Georgia State Clearinghouse
254 Washington Street, SW -- Rm 401J
Atlanta, Georgia 30334
Telephone (404) 656-3855 or 656-3829
Fax (404) 656-7938

Illinois

Barbara Beard
State Single Point of Contact
Department of Commerce and
Community Affairs
620 East Adams
Springfield, Illinois 62701
Telephone (217) 782-1671
Fax (217) 534-1627

Indiana

Amy Brewer
State Budget Agency
212 State House
Indianapolis, Indiana 46204
Telephone (317) 232-5619
Fax (317) 233-3323

Fax (313) 961-4869

Iowa

Steven R. McCann
Division for Community Assistance
Iowa Dept. of Economic Development
200 East Grand Avenue
Des Moines, Iowa 50309
Telephone (515) 242-4719
Fax (515) 242-4859

Kentucky

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601-8204
Telephone (502) 573-2382
Fax (502) 573-2512

Maine

Joyce Benson
State Planning Office
State House Station #38
Augusta, Maine 04333
Telephone (207) 287-3261
Fax (207) 287-6489

Maryland

William G. Carroll
Manager, State Clearinghouse for
Intergovernmental Assistance
Maryland Office of Planning
301 West Preston Street -- Rm 1104
Baltimore, Maryland 21201-2365
Staff Contact: Linda Janey
Telephone (410) 225-4490
Fax (410) 225-4480

Michigan

Richard Pfaff
Southeast Michigan Council of
Governments
1900 Edison Plaza
660 Plaza Drive
Detroit, MI 48226
Telephone (313) 961-4266

Mississippi

Cathy Mallette
Clearinghouse Officer
Department of Finance and Administration
455 North Lamar Street
Jackson, Mississippi 39202-3087
Telephone (601) 359-6762
Fax (601) 359-6764

Missouri

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Room 760, Truman Building
Jefferson City, Missouri 65102
Telephone (314) 751-4834
Fax (314) 751-7819

Nevada

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, Nevada 89710
Telephone (702) 687-4065
Fax (702) 687-3983

New Hampshire

Jeffrey H. Taylor, Director
New Hampshire Office of State Planning
Attn: Intergovernmental Review Process
Mike Blake
2 1/2 Beacon Street
Concord, New Hampshire 03301
Telephone (603) 271-2155
Fax (603) 271-1728

New Mexico

Robert Peters
State Budget Division
Rm. 190, Bataan Memorial Building
Santa Fe, New Mexico 87503
Telephone (505) 827-3640

Fax (505) 827-3861

New York

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, New York 12224
Telephone (518) 474-1605

North Carolina

Mrs. Chrys Baggett, Director
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street
Raleigh, North Carolina 27603-8003
Telephone (919) 733-7232
Fax (919) 733-9571

North Dakota

North Dakota Single Point of Contact
Office of Intergovernmental Assistance
600 East Boulevard Avenue
Bismarck, North Dakota 58505-0170
Telephone (701) 224-2094
Fax (701) 224-2308

Ohio

Larry Weaver
State Single Point of Contact
State Clearinghouse
Office of Budget and Management
30 East Broad Street, 34th Floor
Columbus, Ohio 43266-0411

Please direct correspondence and questions about intergovernmental review to:
Linda Wise
Telephone (614) 466-0698
Fax (614) 466-5400

Rhode Island

Daniel W. Varin
Associate Director
Division of Planning
Department of Administration
One Capitol Hill, 4th Floor
Providence, Rhode Island 02908-5870
Telephone (401) 277-2656
Fax (401) 277-2083

Please direct correspondence and questions to:
Review Coordinator
Office of Strategic Planning

South Carolina

Omeagia Burgess
State Single Point of Contact
Grant Services
Office of the Governor
1205 Pendleton Street
Room 477
Columbia, South Carolina 29201
Telephone (803) 734-0494
Fax (803) 734-0385

Texas

Tom Adams, Director
Intergovernmental Coordination
Governor’s Office
P.O. Box 12428
Austin, Texas 78711
Telephone (512) 463-1771
Fax (512) 463-1888

Utah

Utah State Clearinghouse
Office of Planning and Budget
Attn: Carolyn Wright
Room 116 State Capitol
Salt Lake City, Utah 84114
Telephone (801) 538-1535
Fax (801) 538-1547

Vermont

Nancy McAvoy
State Single Point of Contact
Pavilion Office Building
109 State Street
Montpelier, Vermont 05609

Telephone (802) 828-3326
Fax (802) 828-3339

West Virginia

Fred Cutlip, Director
Community Development Division
West Virginia Development Office
Building #6 -- Room 553
Charleston, West Virginia 25305
Telephone(304) 558-4010
Fax (304) 558-3248

Wisconsin

Martha Kerner, Section Chief
State/Federal Relations Office
Wisconsin Department of Administration
101 East Wilson Street, 6th Floor
P.O. Box 7868
Madison, Wisconsin 53707
Telephone (608) 266-2125
Fax (608) 267-6931

Wyoming

Sheryl Jeffreis
State Single Point of Contact
Office of the Governor
State Capitol -- Rm 124
Cheyenne, Wyoming 82002
Telephone (307) 777-5930
Fax (307) 632-3909

Territories

Guam

Mr. Giovanni T. Sgambelluri, Director
Bureau of Budget and Management
Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910
Telephone 011-671-472-2285
Fax 011-671-472-2825

Northern Mariana Islands

Mr. Alvaro A. Santos, Executive Officer
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
Telephone (670) 664-2256
Fax (670) 664-2272

Contact Person:
Ms. Javoba T. Seman, Federal Programs
Coordinator
Telephone (670) 664-2289
Fax (670) 664-2272

Puerto Rico

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-1119
Telephone (809) 727-4444 or 723-6190
Fax (809) 724-3270 or 724-3103

Virgin Islands

Jose George
Director, Office of Management and
Budget
#41 Norregade Emancipation Garden
Station -- Second Floor
Saint Thomas, Virgin Islands 00802

Please direct all questions and correspondence to:
Linda Clarke
Telephone (809) 774-0750
Fax (809) 776-0069

Supplemental Information

INTRODUCTION: The following information supplements the information provided in the "Dear Applicant" letter, the "Notice Inviting Application for New Awards," and the remainder of this application booklet.

A. Criteria and Priority for Funding

All applications for funding under the Upward Bound or Upward Bound Math/Science Programs will be evaluated as *new submissions* according to the selection criteria listed in Section 645.31 of the program regulations. Upward Bound and Upward Bound Math/Science projects currently funded for program years 1995-96, 1996-97, 1997-98, 1998-99, and 1999-2000 are eligible to receive up to 15 additional points for prior experience.

B. Regulations applicable to the Upward Bound Programs are:

(a) Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 82, 85 and 86; and

(b) Regulations governing the Upward Bound Program (34 CFR Part 645) are included in this application package. Applicants for Upward Bound Math/Science should note 34 CFR 645.13. Veterans Upward Bound applicants should note 34 CFR 645.14.

C. Eligible Applicants

Institutions of higher education; public or private agencies or organizations; or combinations of institutions, agencies, and organizations. Secondary schools are eligible if no institution, agency, or organization is capable of carrying out an Upward Bound or Upward Bound Math/Science project in the target area.

D. Eligible Participants

Upward Bound and Upward Bound Math/Science Projects serve individuals who are citizens or nationals of the United States; permanent residents of the United States; in the United States for other than a temporary purpose and provide evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident; permanent residents of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands (Palau); or residents of the Freely Associated States--the Federated States of Micronesia or the Republic of the Marshall Islands.

Upward Bound projects may serve an individual who is: (1) a potential first-generation college student and/or a low-income individual; (2) has a need for academic support, as determined by the grantee, in order to successfully pursue postsecondary education; (3) at the time of initial selection, has completed the eighth grade but has not entered the twelfth grade and is at least 13 years old but not older than 19. The secretary may waive the age requirement if the applicant demonstrates the limitation would defeat the purposes of the Upward Bound Program.

A veteran, regardless of age, is eligible to participate in any Upward Bound project if he or she satisfies the eligibility requirements.

E. Certifications

1. All applicants must include information in their applications to address the new provisions in Section 427 of the Department of Education's General Education Provisions Act (GEPA). Refer to the section entitled "Notice to All Applicants" for specific information.

2. Applicants should also submit other Department of Education certifications with the application. Signed copies of the following: (1) Standard Form 424B (Assurances-Non-Construction Programs); (2) ED Form 80-0013 (Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements); (3) ED Form 80-0014 (Certification Regarding Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions; and (4) Standard Form LLL (Disclosure of Lobbying Activities) included in the application.

F. Information on the Awards Process

1. Length of New Awards

   Applicants for new awards may apply for a maximum of five years of funding. However, only applicants that score in the highest ten percent of all applicants approved will be awarded five-year grants. Other successful applicants will be given four-year grant awards (refer to 34 CFR 645.34)

2. Evaluation of Applications for New Awards

   Each application is reviewed by a panel of experts. Each reviewer prepares a written evaluation of the application and assigns points for each selection criterion. In addition, program staff review the applicant's prior experience, if applicable, and assign prior experience points on the basis of the criteria published in 34 CFR 645.32. These evaluations serve as the sole basis for preparing a rank order of the application.

3. Selection of New Grantees

   Program staff of Higher Education Preparation and Support make funding recommendations to the Assistant Secretary for Postsecondary Education who approves the awards.

4. Partnership Agreements

   The Department of Education is often unable to award the full amount of funds requested. The amount of funds to be awarded will be based on the appropriateness of the expenditures, the reasonableness of the costs, and the need for the services described in the application. The reader's comments are also taken into account and partnership agreements will be developed with successful applicants.

5. Notice to Successful Applicants

The Office of Legislation and Congressional Affairs in the Department of Education will notify the appropriate members of Congress regarding the award. Notification to the applicant will be mailed one week after the Congress is notified. No funding information is released before the Congress is notified.

6. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

Notice to All Applicants
Guidance on Section 427 of GEPA

Thank you for your interest in these programs. The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants competing for new grant awards under this program. **All applicants competing for new awards must include information in their applications to address this new provision in order to receive funding under this program.**

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. **The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.** Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc., from such access to, or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Notice to All Applicants

The Government Performance and Results Act

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: *Help all students reach challenging academic standards so that they are prepared for responsible citizenship; further learning, and productive employment.*
Goal 2: *Build a solid foundation for learning for all children.*
Goal 3: *Ensure access to postsecondary education and lifelong learning.*
Goal 4: *Make the Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.*

The performance indicators for the Upward Bound program are part of the Department's plan for meeting Goal 3: Ensure access to postsecondary education and lifelong learning. Among the Department's objectives for Goal 3 is that "secondary school students get the information and support they need to prepare successfully for postsecondary education."

What are the Performance Indicators for the Upward Bound Program?

The Department's specific goal for the Federal TRIO Programs is "to increase participation and completion rates of disadvantaged persons through the academic pipeline." The specific performance indicators for the Upward Bound program are as follows:

(1) Upward Bound participants will complete high school at higher rates than comparable non-participants;

(2) Upward Bound participants will enroll in postsecondary education programs at higher rates than comparable non-participants; and

(3) Upward Bound participants who enroll in postsecondary education will complete two or four year postsecondary education programs at rates higher than comparable non-participants.

Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs

Grants

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for all grant applications. Prospective applicants can avoid disappointment if they understand that --

Failure to meet a deadline will mean that an application will be rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the *Federal Register*. A one-year subscription to the Register may be obtained by sending $340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371. (Send check or money order only, no cash or stamps)

The instructions in the *Federal Register* must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, DC 20202-4725

Contracts

Competitive procurement actions undertaken by ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offers are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offers are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for $208.00 per year via second class mailing of $261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

SUPPLEMENTAL INFORMATION
OBTAINING A D-U-N-S NUMBER

The Dun and Bradstreet Unique Numbering System (D-U-N-S) provides a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S number has been entered correctly. This new numbering system replaces the entity identification number (EIN) formerly used by the Department of Education for grantee identification purposes.

Dun and Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. You can obtain your D-U-N-S number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/dbis/aboutdb/intlduns.htm

SECTION C- APPLICATION INFORMATION

ANNUAL LOW-INCOME LEVELS

INSTRUCTIONS FOR COMPLETING

THE APPLICATION AND SCANNABLE

FORMS:

PART I -- INSTRUCTIONS FOR COMPLETING THE APPLICATION FACE SHEET SCANNABLE FORMS

PART II -- INSTRUCTIONS FOR COMPLETING THE BUDGET SUMMARY SCANNABLE FORMS

PART III -- PROGRAM NARRATIVE

PART IV -- UPWARD BOUND AND UPWARD BOUND MATH/SCIENCE PROGRAM

ASSURANCES

PART V -- PRIOR EXPERIENCE

Federal TRIO Programs

Annual Low-Income Levels* Chart

Effective April 1998 until Further Notice

Note: Figures represent "Taxable Income"

Size of Family Unit	Contiguous 48 States, the District of Columbia and Outlying Jurisdictions	Alaska	Hawaii
1	$12,075	$15,105	$13,890
2	$16,275	$20,355	$18,270
3	$20,475	$25,605	$23,550
4	$24,675	$30,855	$28,380
5	$28,875	$36,105	$33,210
6	$33,075	$41,355	$38,040
7	$37,275	$46,605	$42,870
8	$41,475	$51,855	$47,700

For Family units with more than 8 members, add the following amount for each additional family member: $4,200 for the contiguous 48 states, the District of Columbia and outlying jurisdictions; $5,250 for Alaska; and $4,830 for Hawaii.

Low-income individual - The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150 percent of the poverty level amount. The poverty level amount is determined by using criteria established by the Bureau of the Census of the U.S. Department of Commerce.

*The figures shown under family income represent amounts equal to 150% of the family income levels established by the U.S. Bureau of the Census for determining poverty status. These levels were published by the U.S. Department of Health and Human Services in the Federal Register of March 10, 1997, Volume 62, Number 46, pages 10856-10859.

Instructions for Completing the Application and Forms

The application is divided into five parts. These parts are organized in the same manner that the submitted application should be organized.

The sections are as follows:

Part I: Scannable Application Face Sheet and Instructions

Part II: Scannable Budget Summary and Instructions (also include detailed Budget Narrative)

Part III: Program Narrative

Part IV: Program Assurances

Part V: Prior Experience

No grants may be awarded unless a completed application has been received.

Submit the **original** and **three copies** of the application to:

U.S. Department of Education
Application Control Center
Attention: (UB CFDA #84.047A or UBMS CFDA # 84.047M)
600 Independence Avenue, SW
Washington, DC 20202-4725

According to the Paperwork Reduction Act of 1995, any collection of information must display a valid OMB control number. The valid OMB control number for this information collection is 1840-0550. The time required to complete this information collection is estimated to average 34 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments concerning the accuracy of this time estimate or suggestions for improving this form, please write to the U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of the form, write directly to: Higher Education Preparation and Support, U.S. Department of Education, 600 Independence Avenue, SW, The Portals Building, Suite 600D, Washington, DC 20202-5249.

Instructions for Completing the Application Parts I and II -- Face Sheet and Budget Summary

General Instructions for Scannable Forms

To facilitate the application process, the Federal TRIO Programs converted several required forms to a scannable format. Applicants are requested to adhere strictly to the instruction provided below. ***Failure to follow the instruction will delay the processing of your application and may require you to resubmit the forms.***

Instructions for Obtaining the Application Face Sheet and Budget Summaries

SPECIAL NOTE:

The scannable application ED Form No. 872 pages 1 & 2, rev 5/97 OMB Control Number 1840-0050 are required documents. These documents can only be obtained from the Federal TRIO Program Office. Please send a fax or written request to the Federal TRIO Programs at the address provided.

Federal TRIO Programs
U.S. Department of Education
600 Independence Avenue, SW
The Portals Building, Suite 600 D
Washington, D.C. 20202-5249
Fax: (202) 401-6132
E-mail: trio@ed.gov

Instructions for Completing the Application Face Sheet and Budget Summaries

To facilitate the application process, the Federal TRIO Programs converted several required forms to a scannable format. Applicants are requested to adhere strictly to the instructions provided below. Failure to follow the instructions will delay the processing of your application and may require you to resubmit the forms.

The forms that you will need to include with the application package are:

ED Form 872: Upward Bound/Upward Bound Math/Science Face Sheet

ED Form 872, Section A: Budget Summary: US Department of Education Requested Funds

Each applicant must submit form 872 with their application.

If you would like to request an application package, please send a written request to the Federal TRIO Programs at the address provided.

Federal TRIO Programs
U.S. Department of Education
600 Independence Avenue, SW
The Portals Building, Suite 600 D
Washington, DC 20202-5249
Fax: (202) 401-6132
E-mail: trio@ed.gov

You are encouraged to submit your application in typewritten form. However, if your organization does not have access to typewriters, instructions and examples for hand-written submissions are provided with the application package. **Use of a standard typewriter for this page is preferred so that the information on this page can be scanned. If a typewriter is not available, handwritten forms are accepted**.

Do not send a photocopy of the scannable forms. Two copies will be included in the application package you request, but only **one** copy should be submitted with the original copy of your application. Also, **do not put holes in or bind these scannable forms.**

Type inside the blue boxes **only**. You may type over the blue text where there is blue text inside the boxes.

Please do not use dollar sign, commas, or decimals. Please round all dollar amounts to the whole dollar.

Date fields must follow the MM/DD/YYYY format, e.g., 09/01/1998.

Part I -- **Application Face Sheet**

The following are specific instructions for completing the scannable application face sheet. See also the earlier section entitled "General Instructions for Scannable Forms".

1. **Legal Name of Applicant:** Please provide the legal name of the applicant institution or organization. If the applicant is a combination of IHE, indicate the legal name of the institution designated as fiscal agent for the grant.

2. **Organizational Unit:** Please indicate the name of the primary organizational unit which will house the Upward Bound or Upward Bound Math/Science program.

3. **Geographical Area(s) Served:** Summarize geographic areas to be served by the project, i.e., counties, cities/towns, boroughs/parishes or limited sections thereof. (This information will be provided to prospective participants via a directory. Detailed information about the target schools served has been requested in the program narrative.)

4. **Mailing Address:** Enter the complete mailing address of the institution which will serve as legal applicant (fiscal agent). **Grant award notifications and all official correspondence from the U.S. Department of Education are sent to this address. Therefore, it is important to provide complete and accurate information**.

5. **Contact Person:** Enter the name, title, telephone number and extension, FAX number, and E-mail (Internet) address, if available, for the person to contact on matters related to this application.

6. **Type of Project for Which You are Applying:** Select only one. If your project is not a specialized Veterans or Math/Science project, then by default it will be a Regular Upward Bound project.

Are you submitting multiple applications? Select only one.

OPE ID Number: Enter the six digit OPE Title IV Institution Code. This number is used by the applicant institution to process student loans. Information regarding this number is available in the OPE Title IV Institution Code Directory and is also accessible on the world wide web: http://ifap.ed.gov

Type of Applicant: Select one category that best describes the applicant.

Is Application Subject to Review by State Executive Order 12372 Process: Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Check the appropriate box.

<u>PR/Award Number</u>: CURRENT GRANTEES ONLY Applicants currently funded under the Upward Bound or Upward Bound Math/Science programs (FY 1995 - FY 1999) should provide their current grant award number. This number is found in block 4 of the Grant Award Notification, and will begin with either P047A5 or P047M5. **New applicants should leave this item blank.**

<u>D-U-N-S No</u>.: Please provide the applicant's D-U-N-S number. Obtain a D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be accessed via the Internet at the following URL: *http://www.dnb.com*

<u>Proposed Number of Participants</u>: Enter the proposed number of participants to be served **during Year 1** by the project. **Two-thirds** of the proposed participants must be **both** low-income and potential first generation college students. The **remaining one-third** must be either low-income or potential first generation college students.

The following definitions apply to the above:

Low-income individual: An individual whose family's **taxable income** did not exceed 150 percent of the poverty level amount in the calendar year (preceding the year in which the individual initially participates in the project). The poverty level amount is determined by using the criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce. (See the "Annual Low-Income Level" Chart)

First generation college student: A person neither of whose parents received a bachelor's degree. If a student regularly resides and receives support from only one parent, the student qualifies as a first generation college student if that parent did not receive a baccalaureate degree.

14. **<u>Estimated Funding Provided by</u>:** Amount requested or to be contributed during the **first funding/budget period only** by each contributor. Applicant and other in-kind contributions should be included on appropriate lines as applicable.

15. **<u>Federal Debt Delinquency</u>:** This question applies to the applicant institution, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowance, loans, and taxes. Check the appropriate box.

16. **<u>Authorized Signature</u>:** Provide the name, title, telephone number and extension of the authorized representative of the applicant, and the date signed. The representative should sign in the area furnished. A copy of the governing body's authorization that recognizes the signer of this application as an official representative of the applicant must be on file in the applicant's

office.

Part I I -- Budgetary Documents

Section A -- Budget Summary (Scannable)

See the scannable budget form entitled, “Budget Summary: U.S. Department of Education Requested Funds” (ED Form 872, 40-65), as well as the preceding section entitled “General Instructions for Scannable Forms”.

1. **Legal Name of Applicant:** Enter information from item number **1** of the application face sheet.

2. **Geographical Area(s) Served:** Enter information from item number **3** of the application face sheet.

3. **D-U-N-S No.:** Enter information from item number **12** of the application face sheet.

4. **OPE ID Number:** Enter information from item number **8** of the application face sheet.

5. **Type of Project for Which You are Applying:** Enter information from item number **6** of the application face sheet. Select only one.

Personnel: Enter project personnel salaries and wages only.

Fringe Benefits: The institutions normal fringe benefit contribution may be charged to the program. If benefits exceed twenty percent **(20%),** an explanation and justification must be provided. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

C. **Travel:** Indicate travel of employees only. Travel of consultants and participants may not be included in this category, but should be included in the “Other” category on line E.

D. **Supplies:** Show all tangible personal property except that which is included on line H.

E. **Other:** Indicate all direct costs not covered on lines A-D or H-L. Examples are: equipment rental, consultant costs, communication costs, rental of space (when not included in the indirect cost pool), and consultant and participant travel.

F. **Total Direct Costs:** The sum of lines A-E. This is the modified total direct cost base, which excludes the following items:

equipment (i.e., equipment of $5,000 or more per unit)
room and board

summer non-residential meals
tuition and related fees, and
training stipends for students

G. **Indirect Costs:** Indirect costs are limited to eight percent **(8%)** of a modified total direct cost base -- see 34 CFR 75.562(c). *(Exception: Federally recognized Indian Tribes, tribal governments, and agencies of State or local governments, including LEAs (school districts) may exceed the 8% limit on indirect costs.)*

H. **Equipment:** Indicate the cost of non-expendable personal property which has a usefulness of greater than one year and an **acquisition cost of $5,000 or more per unit**. (See the definition of equipment under 34 CFR 74.2.) Lower limits may be established to maintain consistency with the applicant's policy.

I. **Training Stipends:** Include student stipends. See the program regulations, 34 CFR 645.42(d), which establishes stipend amounts.

J. **Tuition and Related Fees**

K. **Room and Board:** For projects with a residential component.

L. **Summer Non-residential Meals**

Total Costs: This should equal the sum of lines F through L. This amount should also be equal to item **14a** on the application face sheet.

Section B -- Budget Narrative

Provide a descriptive budget narrative for each project year completed in Section A -- Budget Summary . In the descriptive budget narrative, explain amounts for individual direct object cost categories that may appear to be out of the ordinary and explain the following details:

Personnel Salaries. Include a statement which shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff. Provide a breakdown of project personnel that includes the position title, the percent of time and number of months committed to the project, and the total salary to be charged to the grant.

Fringe Benefits. Include an explanation and appropriate justification if the institution's normal benefit contribution exceeds 20 percent.

Staff Travel expenditures should be detailed as to purpose, objective, and number of persons involved (i.e., attendance at Special Programs conferences, staff development, etc.).

Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per Diem at the established institutions or agency rate is permitted when an individual is away from home over night (24 hours) on official project business. (See OMB Circular A-21, J.48.c Commercial Air Travel.)

No foreign travel will be authorized under the grant.

The Department of Education has established the following guidelines for recommending approval of travel . All staff travel for professional development must be directly related to the project's overall purpose and proposed activities and should not exceed four percent of the total project salaries. The Department may adjust this percentage if the applicant demonstrates and the Department agrees that a higher percentage is necessary and reasonable.

I. Project Director's Travel - Per Year

A. One National Conference;
B. One Regional Meeting;
C. One State Meeting; and
D. Travel for staff development under the Training Program for Federal TRIO Programs.

II. Full-time Professional Staff Travel - Per Year

A. One Regional Meeting, One State Meeting or One National Meeting; and

B. Travel for staff development under the Training Program for Federal TRIO Programs.

See *other* regarding participant and consultant travel.

Other. Student and other travel expenditures should be detailed as to purpose, objective, and number of persons involved in each. All educational and cultural trips and activities planned must be related specifically to a project objective. Further the combined cost of all proposed educational and cultural trips (inclusive of transportation costs, meals, and entrance fees) should not exceed $300 per participant or 8% of the budget whichever is less. The Department may adjust this percentage if the applicant demonstrates and the Department agrees that a higher amount is necessary and reasonable.

Equipment. List items of equipment in the following format: Item, Number of Items, Cost per Unit, Total Cost. Equipment must be necessary to carry out project activities and must be fully justified. *(Please remember that equipment is defined as non-expendable personal property which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit.)*

Part III -- Program Narrative

Prepare the program narrative statement in accordance with the instructions for all new grants in the Education Department General Administrative Regulations (EDGAR) in 34 CFR Part 75, Subpart C--How to Apply for a Grant.

The applicant should include a one-page abstract (summary) of the proposed project, which includes the goals and objectives and intended outcomes for the proposed project. A header for the abstract should include the project name and address, telephone, and fax and e-mail.

Following the abstract, the applicant should provide the name, mailing address, city, state, and zip code for each of the proposed target schools.

The Secretary evaluates an application on the basis of the criteria in Section 645.31 of the Upward Bound program regulations. The program narrative should provide in detail the information which addresses each selection criterion. The maximum possible score for each completed criterion is indicated in parentheses next to the criterion. The applicant is urged to address the selection criteria in the following order:

1.	Need for the Project (Section 645.31(a))	(24 points)
2.	Objectives (Section 645.31(b))	(9 points)
3.	Plan of Operation (Section 645.31(c))	(30 points)
4.	Applicant & Community Support (Section 645.31(d))	(16 points)
5.	Quality of Personnel (Section 645.31(e))	(8 points)
6.	Evaluation Plan (Section 645.31(g))	(8 points)
7.	Budget (Section 645.31(f))	(5 points)
	Total Maximum Score for Selection Criteria	**100 points**

The above order is suggested since this is the same order in which the Technical Review Form is organized. The non-Federal reviewers to evaluate the application use the Technical Review Form.

It is suggested that the narrative portion of the application not exceed one hundred (100) pages in length.

Additional Suggestions--

Type and double-space the narrative and use a standard font size, not smaller than 12.

Number each page of the application in consecutive order, including appendices.

Provide a Table of Contents.

The face sheet is the first page of the application.

- **Do not bind the original application or damage in any way the original scannable forms**. The remaining three copies may be bound, since they are the field reader copies.
- **Do not** include descriptive materials (brochures, reports, etc.) which are not requested.
- The original copy of the application must contain original ink signed signatures on Part I and Part IV. Label this copy "ORIGINAL" on the top of the application for Federal Assistance (Part I).
- To facilitate the field reading process, address the program narrative in the exact sequence cited on previous page.
- Letters of commitment should be included at the end of the program narrative and will not be considered part of the 100-page limitation.
- Resumes and position descriptions should be included at the end of the program narrative and will not be considered part of the page limitation.

OMB Approval Number: 1840-0550

Expiration Date: 03/31/2001
ED Form 40-2P

Part IV --
Upward Bound Program Assurances

Section 645.21 of the Upward Bound Program regulations require that the applicant comply with the following provisions:

- The applicant assures that at least two-thirds of the individuals the applicant proposes to serve under an Upward Bound project will be low-income individuals who are potential first generation college students.

- The applicant assures that the remaining participants will be either low-income or potential first generation college students.

The person or persons whose signature(s) appear(s) below is/are authorized to sign this application, and to commit the applicant to the above provisions for the entire period of the grant.

_________________________ ____

Date | Authorized Official(s)

____

Name of Applicant Institution

____

Street Address

____

City, State, Zip Code

OMB Approval Number: 1840-0550

Expiration Date: 03/31/2001
ED Form 40-2P

Part V -- Prior Experience

This part is to be completed only by those applicants who have been funded within the fiscal year 1995-1999 grant cycle (Program Years 1995-96, 1996-97, and 1997-98).

The applicant should provide in detail information for each of these years which addresses each of the criteria listed in Section 645.32 of the Upward Bound Program regulations. However, if the applicant has submitted the annual performance reports, the applicant needs only to provide the information needed to evaluate the applicant's prior experience that is not covered by the performance reports (1997-98). Attach copies of the Performance Reports for 1995-96 through 1997-98 to Part V of the application if not previously provided.

Applicants should report on accomplishments to date for program year 1998-99. Present the data in the same format and sequence included in the Prior Experience regulations.

The Secretary evaluates the prior experience of an applicant on the basis of the criteria in Section 645.32 (Prior Experience) of the Upward Bound Program regulations. Based on the success of the project's prior experience of service delivery, an applicant may receive up to fifteen (15) additional points.

SECTION D- U.S. DEPARTMENT OF EDUCATION ASSURANCES AND CERTIFICATIONS

NON CONSTRUCTION ASSURANCE

CERTIFICATION REGARDING LOBBYING; DEBARMENT; SUSPENSION; AND OTHER RESPONSIBILITY MATTERS; AND DRUG FREE WORKPLACE REQUIREMENTS

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIER COVERED TRANSACTIONS

DISCLOSURE OF LOBBYING ACTIVITIES

OMB Approval No. 0348-0040

ASSURANCES- NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-

234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation

    Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.);(g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of a other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

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Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. Lobbying

As required by Section 1352, Title 31, of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000 as defined at 34 CFR Part 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c)The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. Debarment, Suspension, and Other Responsibility Matters

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c)Are not presently indicted for or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any offenses enumerated in paragraph (l)(b) of this certification; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. Drug Free Workplace
(Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Section 85.605 and 85.610-

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c)Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later that five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 7th and D St., S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(l) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

____

____

____

Check [ ] if there are workplaces on file that are not identified here.

Drug-Free Workplace

(Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S. Department of Education, 7th and D St., S.W. (Room 3124, GSA Regional Office building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant

____

PR/Award Number and/or Project Name

____

Printed Name and Title of Authorized Representative

____

Signature

____

Date

____

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION – LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,'' without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of

records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT

PR/AWARD NUMBER AND/OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

ED 80-0014, 9/90 (Replaces GCS-009 (REV. 12/88), which is obsolete)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, of expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal Action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a) Enter Last Name, First Name, and Middle Initial (MI).

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.

12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.

14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.

15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.

16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget Paperwork Reduction Project (0348-0046), Washington, D.C. 20503

DISCLOSURE OF LOBBYING ACTIVITIES

Continuation Sheet

Approved by OMB

0348-004

Approved by O.M.B. 0345-0045

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 (see reverse for public burden disclosure)

1. Type of Federal Action:	2. Status of Federal Action	3. Report Type:
contract grant coop. agreement loan loan guarantee loan insurance	bid/offer/application initial award post-award	initial filing material change For Material Change Only: yr. ______ qrtr. ______ Date of last report ______
4. Name and Address of Reporting Entity: __Prime __Subawardee Tier___, if known Congressional District_____, if known	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District_____, if known	6. Federal Department/Agency:
7. Federal Program Name/Description: CDFA #, if applicable 84.______	8. Federal Action Number, if known:	9. Award Amount, if known: $_______________________
10.a. Name and Address of Lobbying Entity (if individual, last name, first name, MI)	b. Individuals Performing Services (including address if different from 10a) (last name, first name, MI)	11. Amount of Payment (check all that apply): $___________ ____ actual __ planned
12. Form of Payment (check all that apply): ___ a. cash___ b. in-kind: nature________ value_________	13. Type of Payment (check all that apply): ___ a. retainer ___ b.one-time fee ___ c. commission ___ d. contingent fee ___ e. deferred ___ f. other; specify:___________________	14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11: (attach contin. sht., SF-LLL-A, if necessary)
15. Continuation Sheet(s) SF-LLL-A attached ___ Yes ___ No	16.Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	

Federal Use Only

Signature: ____

Print Name ____

Title : ____

Telephone No: ____-____-______ Date: __________________

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